

Prop 84 Stormwater Grant Program Implementation Workshop for New Grantees



**Tuesday, October 30, 2012
Sacramento, CA**

SWGP Post Award Workshop

1. Welcome

2. Grant Agreement

3. CEQA

4. Measuring Project Performance

5. Invoicing & Reimbursement

6. Reporting

7. Fraud Prevention and Detection

8. Summary

Remember Your Timeline

- Grant Agreement – February 2013
- CEQA/Permits – May 2013
- Construction – **Dec. 2015**
- Monitoring – **Winter 2014/15**
- Final Report (approved) – **March 2016**
- Final Invoice – **May 1st, 2016**

Questions?

Email questions to:
DFA_Grants@waterboards.ca.gov

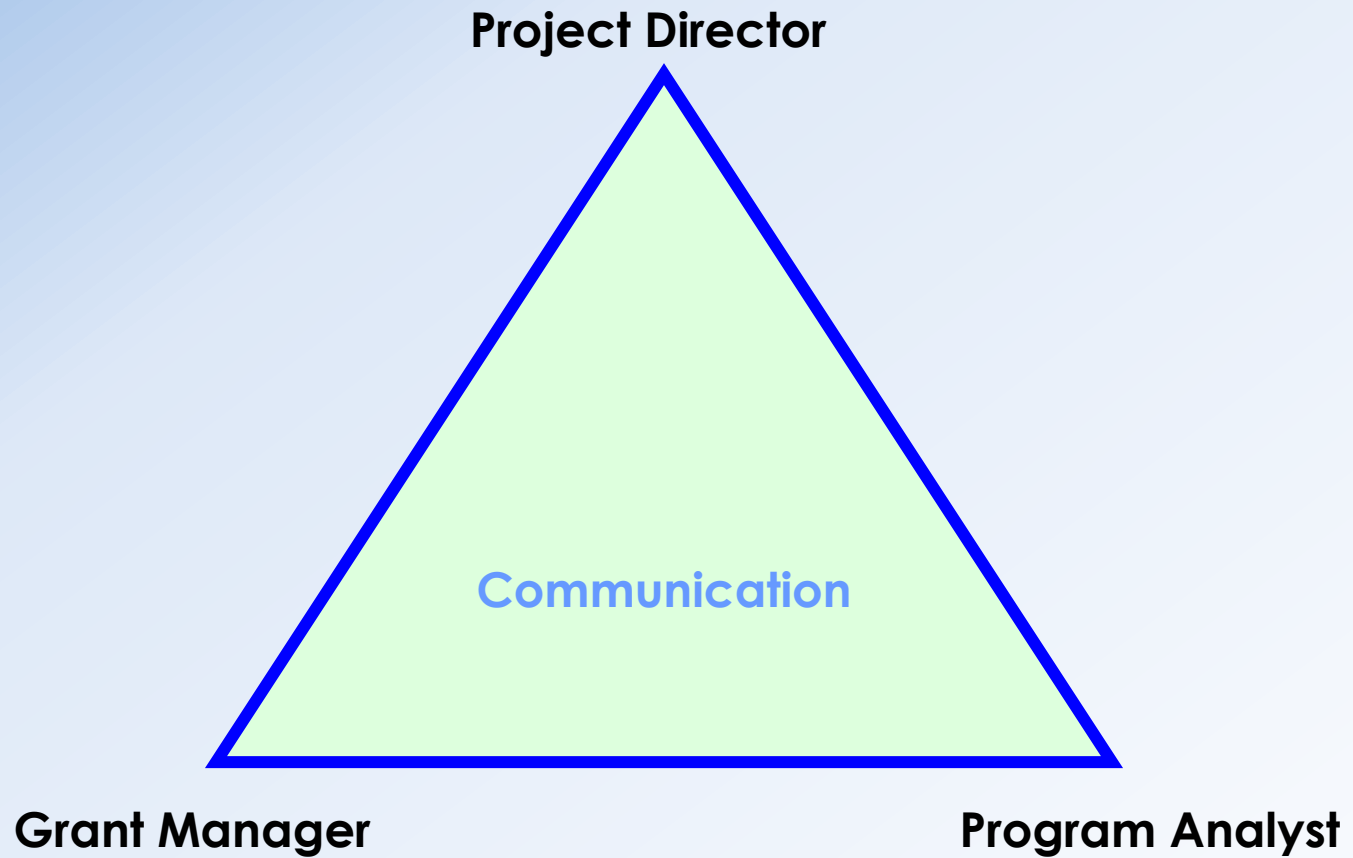
SWGP Post Award Workshop

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- 2. Grant Agreement**
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SWGP Post Award Workshop

Grant Agreement

- a) Project Director, Project Manager, & Program Analyst
- b) Welcome Email
- c) Timeline
- d) Scope of Work – Exhibit A
- e) Deliverables – Exhibit A
- f) Budget – Exhibit B
- g) Exhibits C and D
- h) Resolution



Welcome Email

1. Project Director Certification (PD Cert)
2. Payee Data Record – Agency's FEIN Number
3. Sample Resolution

Resolution

Sample Resolution

RESOLUTION NO. ____

(date)

BOARD OF DIRECTORS
(organization)

A RESOLUTION AUTHORIZING ENTERING INTO AN AGREEMENT WITH THE STATE OF CALIFORNIA AND DESIGNATING A REPRESENTATIVE TO SIGN THE AGREEMENT, AND ANY AMENDMENTS THERETO, FOR THE (project title) PROJECT.

Whereas, the Board authorizes (organization) to enter into an Agreement with the State of California; and

Whereas, the Board authorizes (title, no name), or designee, to sign the Agreement, and any amendments thereto; and

Now, therefore, be it resolved, that the (organization) Board of Directors hereby adopts Resolution (#) on (date).

CERTIFICATION

I hereby certify that the foregoing Resolution (#) was duly and regularly adopted by the Board of Directors of the (organization) at the meeting thereof held on the () day of (), 20XX, motion by (member name) and seconded by (member name), motion passed by the following roll call vote:

Ayes:

Noes:

Abstained:

Absent:

Attest:

name
title

Execution Process

Grantee Contacted with Initial Instructions
Admin Forms and Budget are Requested



SOW and Budget Drafted by PA and GM
Forwarded to PD for Approval



3-Way Teleconference with PD, GM, and PA
Agreement is Finalized



Final Agreement Routed Internally for Approval
Emailed to PD for Signature



Once Returned, Routed for State Water Board's Execution
Fully Executed Agreement Sent to PD

Scope of Work – Exhibit A

- A. Plans and General Compliance Requirements – Reporting
- B. Project-Specific Requirements

Table of Items for Review

*[this is only a sample,
edit as needed]*

| ITEM | DESCRIPTION | CRITICAL DUE DATE | ESTIMATED DUE DATE |
|---|---|---------------------------------------|--------------------|
| EXHIBIT A – SCOPE OF WORK – WORK TO BE PERFORMED BY THE GRANTEE | | | |
| A. | PLANS AND GENERAL COMPLIANCE REQUIREMENTS | | |
| 1. | GPS Information for Project Site and Monitoring Locations | Day 90 Prior to First Disbursement | |
| 2. | Project Assessment and Evaluation Plan (PAEP) | Day 30 | |
| | Non Point Source Pollution Reduction Project Follow-up Survey Form | | Annually by 12/15 |
| 3. | Monitoring Plan (MP) | Day 90 | |
| | Monitoring Reports | | Quarterly/Monthly |
| 4. | Quality Assurance Project Plan (QAPP) | Day 90 | |
| 5. | Proof of water Quality Data Submission to CEDEN | Before Final Invoice | |
| 6. | Copy of final CEQA/NEPA Documentation | Date Required | |
| 7. | Public Agency Approvals, Entitlements or Permits | | As Needed |
| B. | PROJECT-SPECIFIC REQUIREMENTS | | |
| 1. | {Title of work item to be reviewed} | | Month Year |
| a. | {Name of item to be reviewed} | | Month Year |
| b. | {Name of item to be reviewed} | | Month Year |
| x. | <Education/Outreach Component> | Date Required | Month Year |
| y. | <Post-Construction Monitoring Report> | Date Required | Month Year |
| EXHIBIT B – INVOICING, BUDGET DETAIL, AND REPORTING PROVISIONS | | | |
| A. | INVOICING | | Quarterly/Monthly |
| F. | REPORTS | | |
| 1. | Progress Reports by the twentieth (20 th) of the month following the end of the calendar quarter (March, June, September, and December) delete if monthly | | Quarterly/Monthly |
| 2. | Annual Progress Summaries | | Annually by 9/30 |
| 3. | Draft Project Report | Month Day Year | |
| 4. | Final Project Report | Month Day Year | |
| 5. | Final Project Summary | Before Final Invoice | |
| 6. | Final Project Inspection and Certification | Before Final Invoice | 12 |

Line Item Budget

| | Prop 84 | MATCH | TOTAL |
|---|---------|-------|-------|
| Direct Project Administration Costs | \$ | \$ | \$ |
| Planning/Design/Engineering/Environmental | \$ | \$ | \$ |
| Equipment (over \$5,000) | \$ | \$ | \$ |
| Construction/Implementation | \$ | \$ | \$ |
| Monitoring/Performance | \$ | \$ | \$ |
| Education/Outreach | \$ | \$ | \$ |
| TOTAL | \$ | \$ | \$ |

Exhibits

- Exhibit A – Compliance Requirements, Scope of Work, Deliverable Due Dates
- Exhibit B – Invoicing, Budget Detail, and Reporting Provisions
- Exhibit C – General Terms and Conditions
- Exhibit D – Special Conditions

Important Deadlines

- Complete resolutions prior to signing grant agreement
- Concurrence with deliverables and workscope within 10 days
- Signed Agreement returned within 10 working days.

Questions?

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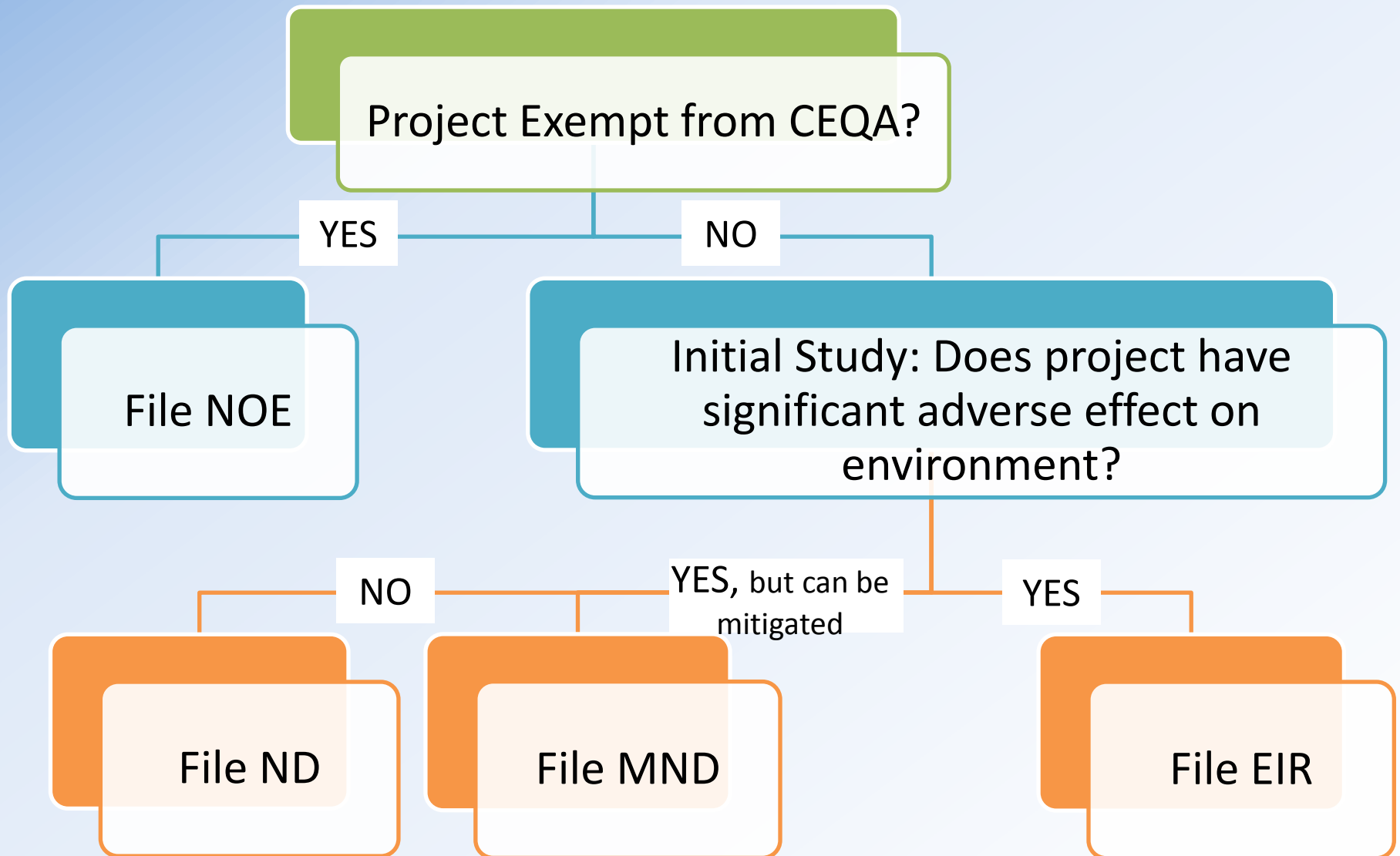
CEQA

- California Environmental Quality Act (CEQA)
- ALL State Water Board grants are subject to CEQA

CEQA - Who prepares CEQA Documents?

- The Lead Agency (usually the grantee) prepares and circulates environmental documents
- The Lead Agency must be a public agency (i.e. local, regional or state government)
- The State Water Board will act as the Lead Agency for non-governmental organizations

CEQA – Environmental Documents



CEQA – Where to find Help

- CEQA Guidelines:
http://ceres.ca.gov/ceqa/docs/CEQA_Handbook_2012_wo_covers.pdf
 - See Appendix A for CEQA Process Flow Chart
- CA Natural Resources Agency:
<http://ceres.ca.gov/ceqa/>
 - See FAQs
- State Clearinghouse:
http://www.opr.ca.gov/m_stateclearinghouse.php
 - Submitting Environmental Documents to OPR

CEQA – NOE: Items for SB Review

- Submit to Grant Manager:
 - 1 page Project Description
 - Permits
 - Signed, date-stamped copy of NOE
 - State Water Board [NOE Concurrence Form](#)

CEQA: NOE Concurrence Form Example

**Notice of Exemption (NOE) for Grant Projects
State Water Resource Control Board Concurrence**

Agreement Number: 07-507-550-2 **Date NOE Filed:** 7/30/12
Grantee: Regional Water Management Foundation **County:** Santa Cruz
Lead Agency: Santa Cruz County Planning Department. **State Clearinghouse #:** 2012088136

Project Title: Scotts Creek Bank Stabilization Project

Project Location (attach map, if applicable):

Project Description: The re-contouring of the stream bank and re-direction of the stream flow are proposed in order to prevent a recurrence of the scour, bridge destabilization and bank failure that have occurred during the past two winter storm seasons. Given the history of undercutting and destabilization of the stream bank in the project area, the probability is high that repeated failure will occur during the next rainy season. The proposed measures are necessary to prevent future short-term emergency occurrences, which would threaten the structural integrity of the bridge, as well as, the water quality and habitat value of a stream known to be populated by listed fish species.

CEQA Categorical/Statutory Exemptions: Check all exemptions the project meets:

| | |
|---|---|
| <input type="checkbox"/> Section 15301: Class 1 Existing Facilities | Operation, repair, maintenance and/or minor alteration of an existing structure |
| <input type="checkbox"/> Section 15302: Class 2 Replacement or Reconstruction | Replacement or reconstruction of an existing structure where the new or replacement structure is located on the same site |
| <input type="checkbox"/> Section 15303: Class 3 New Construction or Conversion of Small Structures | Construction or remodification of a limited number of new or existing small structures |
| <input type="checkbox"/> Section 15304: Class 4 Minor Alteration to Land | Minor alteration to the condition of land, water and or vegetation with no negative impact to existing scenic trees |
| <input type="checkbox"/> Section 15306: Class 6 Information Collection | Basic data collection and research with no disturbance to an environmental resource |
| <input type="checkbox"/> Section 15262: Feasibility and Planning Studies | A project involving only feasibility or planning studies |
| <input checked="" type="checkbox"/> Section 15269: Emergency Projects | A project that is deemed an emergency as described in Section 15269 |
| <input type="checkbox"/> Section 15333: Class 33 Small Habitat Restoration Projects | Project is five acres or less and ensures a positive impact for fish, plants or wildlife |
| <input type="checkbox"/> Other | Provide Section number and description: |

OPR State
Clearinghouse
Number




Categorical/
Statutory
Exemption

CEQA: NOE Concurrence Form

Example

| Exceptions to NOE: | | Must mark box indicating whether statement applies. If you mark "yes" then the NOE does not apply – call your GM |
|--------------------------|-------------------------------------|--|
| Yes | No | |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Location – Is the project located in a particularly sensitive environment where location exception applies? (for class 3,4,6) |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Cumulative Impact – Will there or have there been successive projects of the same type in the same place, and over time is becoming environmentally significant? |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Significant Effect – Is there a reasonable possibility that the project will have a significant effect on the environment due to unusual circumstances? |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Scenic Highway – Could the project cause damage to the environment within a highway officially designated as a state scenic highway? |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Hazardous Waste Site – Is the project located on a site which is included on any list compiled pursuant to Section 65962.5 of the Government Code? |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Historical Resources – Could the project cause a substantial adverse change in the significance of a historical resource? |

I certify to the best of my knowledge the information in this form is correct and the project is exempt from CEQA and will not result in any significant effect on the environment:

| Grantee: | Grant Manager Concurrence: | State Water Board Concurrence: |
|--|---|--|
| Print: SUSAN PEARCE | Print: Sarah Gatzke | Print: E.L. Haven |
| Signature:  | Signature:  | Signature:  |
| Date: 8/8/12 | Date: 8/20/12 | Date: 8/30/12 |

Deputy
Director
Approval




CEQA – ND/MND: Items for SB Review

- Submit to Grant Manager:
 - 1 page Project Description
 - Permits
 - Final ND/MND
 - Public Review Period comments with responses
 - Resolution
 - Final Mitigation Monitoring and Reporting Program (MND only)
 - Notice of Determination (NOD)

CEQA – ND/MND SB Staff Report

Project
Description
Matches
Project
Description
on ND/MND



CEQA Administrative Staff Report¹ State Water Board Funding Decisions State Funding Only

Funding Sources (check all that apply):

2005-06 Consolidated Grants ☐ 007-08 CWA 319 ☐ IRWMP ☒ Northern Santa Cruz Co.

Other ☐ → Identify:

Grant Agreement No(s): **07-507-550 (Component 13 Molino Pond Restoration)**

Grantee: Regional Water Management Foundation (Foundation)

Sub-grantee: Santa Cruz County Resource Conservation District (RCD)

Lead Agency: County of Santa Cruz (County)

Project Name: Molino Pond Restoration Project (Project)

Project Location: Molino Creek Watershed, Latitude 37°02' 1107"N Longitude -122°13'29.77"W

Purpose of the Project: The hydrologic and geomorphic restoration of Molino Pond to establish a more suitable habitat for the California red-legged frog (CRLF) and other wildlife.

Project Description: Molino Pond is a small off-channel pond that receives water from Molino Creek, and was considered a high quality habitat for the CRLF until agricultural stream diversions became disallowed and the pond lost its main water source. Without stream flow, the pond dries out in early to mid-summer before the CRLF has time to undergo metamorphosis.

The Project will:

- Build a concrete still basin with a piped diversion to direct 10-15% of creek flows to Molino Pond. Flow will only be diverted when the water in the creek exceeds minimum stream flow levels.
- Install two piezometers in Molino Creek to ensure adequate stream flow subsequent to Project completion.
- Install pipe to convey water to Molino Pond. The closed conduit diversion pipe will run above ground except through the existing agricultural road.
- Install two engineered outlet structures.
- Construct a small pier structure to ensure no backwatering or blocking of the outlet.
- Install an impervious clay material liner and trench at the downstream end of the pond.
- Grade outlet area to create deeper pools to ensure that water will be maintained through late summer, allowing for the completion of CRLF metamorphosis.

CEQA – ND/MND SB Staff Report

Permits

MMRP

ND/MND
with
Initial
Study

Items Reviewed:

1. Mitigated Negative Declaration – 2010 Amended Master Permit
2. Regional Water Quality Control Board (RWQCB) 401
3. Department of Fish and Game 1600
4. County/Coastal Zone Master Permit
5. United States Army Corps of Engineers Regional General Permit
6. United States Fish and Wildlife Service's Biological Opinion
7. National Marine Fisheries Service's Biological Opinion


Mitigation Requirements: Disturbed area shall be monitored for non-native plants; any invasive non-native plants will be removed using best management practices. Re-vegetation will be limited to plantings from "List of Preferred Plant Species". Erosion control measures will be applied to all disturbed earth surfaces. Stockpiled materials during Project construction will be managed to prevent discharge to waters. All stored material and vehicles must be kept at least 100 feet away from waters, and oil absorbent material must be kept on site. Only sandbags or clean gravel will be used for artificial obstruction.

Additional Information:

- RWQCB 401 Certification finds that if the Project is implemented as described, along with following their additional mitigation requirements and conditions given, the Project will positively affect water quality.
- RCD finds the Project has no potential to impact a floodway or floodplain.
- Molino Pond is part of the Partner's in Restoration Permit Coordination Program (Program) for which activities are permitted under a Master Permit Program involving multi-agency coordination.
- The permitted Program practices were thoroughly vetted by local, state, and federal resource agencies, and conditioned to comply with environmental regulations at all levels. All projects conducted under the Master Permit are for the enhancement of environmental resources.

CEQA – ND/MND SB Staff Report

NOD, filed
with County
& OPR




FINDINGS:

1. The County is the lead agency under CEQA for the Project and the RCD is the responsible agency.
2. The County completed an Initial Study/Mitigated Negative Declaration and approved a five-year Master Permit for Partner's in Restoration Permit Coordination on April 13, 2005. In 2010, the County approved a five year extension of the Master Permit Program until 2015.
3. The RCD filed a NOD with the Santa Cruz County Clerk on November 22, 2011.
4. The RCD filed a NOD with OPR on November 22, 2011.
5. State Water Board staff reviewed and considered the environmental information and determined that the Project will not result in any significant adverse water quality impacts.

Deputy Director
Approval





Elizabeth L. Haven, Deputy Director
Division of Financial Assistance

cc: Sarah Gatzke, DFA
Carolyn Saputo, DFA

9/7/12
Date

Finding: No
significant adverse
water quality impacts



CEQA – EIR: Items for SB Review

- Submit to Grant Manager:
 - 1 page Project Description
 - Notice of Preparation (NOP)
 - Draft and Final EIR
 - Public Review Period comments with responses
 - Resolution
 - The final MMRP and Statement of Overriding Consideration (SOC; if applicable)
 - Notice of Determination (NOD)

CEQA – Important Reminders

- All State Water Board grant projects are subject to CEQA
- State-funded activities subject to CEQA shall not begin until the State Water Board's CEQA findings are approved

Questions?

Email questions to:
DFA_Grants@waterboards.ca.gov

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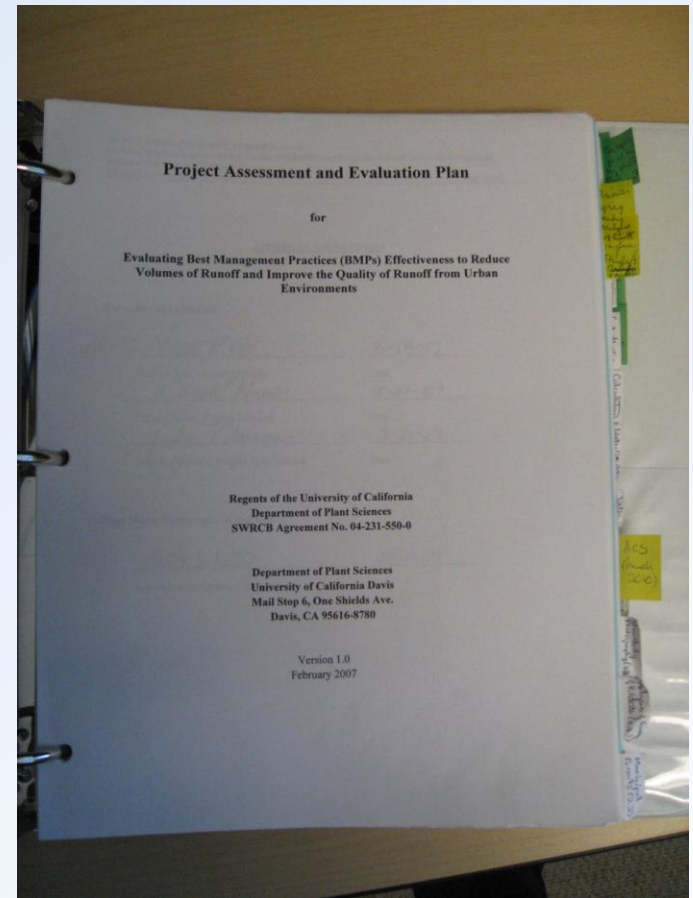
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Performance Measures

- Project Assessment and Evaluation Plan (PAEP)
- Monitoring Plan (MP)
- Quality Assurance Project Plan (QAPP)

Project Assessment & Evaluation Plan (PAEP)

- What is a PAEP?
 - Documents the grantee's intended actions towards goals
 - A roadmap and tracking device to achieve results
 - Summarizes information that will be collected during project



PAEP – What is a PAEP?

- Identifies measures that can be used to monitor progress
- A tool for grantees and grant managers to determine fulfillment of grant requirements
- Maximizes value of public funds to achieve environmental results/benefits

PAEP - Purpose

- Can answer questions:
 - Does the Project meet the intent of the Bond Act and Funding Program?
 - Are the Project Goals realistic?
 - Have ecosystem health and water quality improved as a result of the \$\$ awarded?
 - Which stressors on the ecosystem are the most important ones in my watershed?

PAEP

Project Activity Categories:

1. Planning, Research, & Assessment
2. Education, Outreach, & Capacity-building
3. Habitat Restoration



PAEP

Project Activity Categories:

- 4. Pollutant Load Reduction**
- 5. Water Conservation, Reliability Enhancement, & Recycling**
- 6. Flood Attenuation & Floodplain Protection**



PAEP – Performance Measure Table

| Project Goals | Desired Outcomes | Output Indicators | Outcome Indicators | Measurement Tools & Methods | Targets |
|-------------------------------|--|---|--|---|--|
| 1. Who, what, by when, & how? | <p>What do you want by the end of your project?</p> <p>The desired outcome should be achievable, measurable, and as tangible as possible.</p> <p>The desired outcome should be able to be met by reaching your goal stated.</p> <p>However, you may have multiple desired outcomes per goal.</p> | <p>1. <u>What things will be produced</u> as a result of working toward your goal?</p> <p>And what are your measurement units for <u>measuring these things produced</u>?</p> <p>The units should be general quantitative units of <u>output</u>.</p> <p>Output Indicators can be an indirect measure of your goal.</p> | <p>1. What quality, social behavioral or environmental condition, will be <u>changed</u> to indicate that the goal will be met?</p> <p>And what are the general measurement units for <u>measuring these changes</u>?</p> <p>Outcome Indicators should be units to measure your goal directly.</p> | <p>1. <u>Tools</u>- What will you use as a ruler to measure the target?</p> <p>2. <u>Methods</u>- -What is the name of the scientific method being used? -Can it be sited from somewhere or explained? -Will it be in your QAPP or Monitoring Plan?</p> | <p>1. What is the specific measurement you would like to reach by the end of your goal deadline, that will indicate you have reached your desired outcome?</p> <p>Note: The measurement units should match the measurement units stated in the <u>Outcome Indicator Column</u>, & be measured using the tool & method stated in the <u>Measurement Tools & Methods column</u>.</p> <p>There may be multiple targets for each goal & desired outcome.</p> |

PAEP

PAEP targets for stormwater projects must include:

- Post-project flow reduction in cubic-feet
- Percent reduction in targeted constituents of concern
- Quantified targets for outreach efforts too

PAEP – Pollutant Load Reduction

- Percent increase in benthic macro-invertebrate diversity
- Percent decrease in adverse effects biomarkers and targeted toxic samples (even-based water toxicity, sediment toxicity)
- Reduction in event mean concentration before and after BMP implementation
- Volume of runoff treated by structural BMPs compared to average runoff volume in project area

PAEP – Pollutant Load Reduction

- Estimated or directly measured mass of a specific pollutant that BMP Implementation prevented from reaching surface water or groundwater
- Reductions in peak flow or total runoff
- Percent decrease in pollutant use and/or discharge
- Percent increase in certified practices designed to result in reduction of pollutant inputs into listed water bodies

PAEP – Performance Measure Table

Pollutant Load Reduction

| Project Goals | Desired Outcomes | Output Indicators | Outcome Indicators | Measurement Tools & Methods | Targets |
|--|--|---|--|---|---|
| 1. Reduce stormwater discharge volume | 1. Reduce stormwater total runoff volume and peak flow | 1. Convert impervious surface area to pervious | 1. Volume of infiltration through pervious surfaces | 1. Hydromodification modeling | 1. Reduce stormwater discharge volume by 150,000 cf annually, based on 14" average annual precipitation |
| 2. Reduce the TSS concentration in stormwater runoff | 2. Meet the TSS TMDL load allocations | 2. Create multiple bioretention BMPs in the drainage area | 2. Percent reduction in concentration for TSS in stormwater influent vs. effluent flow | 2. Grab samples of storm flows in BMP influent and effluent | 2. Reduction in TSS in BMP effluent by 80% |

Monitoring Plan (MP) and Quality Assurance Project Plan (QAPP)

- MP – Required if project includes Water Quality or environmental monitoring
 - Locations, frequencies, media, and constituents
 - Field sampling protocols
 - Responsibilities
- QAPP Ensure data quality meets project needs
 - Data Quality Objectives and Indicators
 - Standardized procedures/Quality Assessment Plan
 - Quality Control samples
 - Data validation and management (CEDEN)

Performance Measures - Resources

PAEP Training Materials are found at:

http://www.waterboards.ca.gov/water_issues/programs/grants_loans/paep/paep_training.shtml

Developing a PAEP website:

http://www.waterboards.ca.gov/water_issues/programs/grants_loans/paep/index.shtml

Developing a MP and QAPP:

http://www.waterboards.ca.gov/water_issues/programs/swamp/tools.shtml#qa

Questions?

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*****BREAK*****

Let's take 10!

SWGP Post Award Workshop

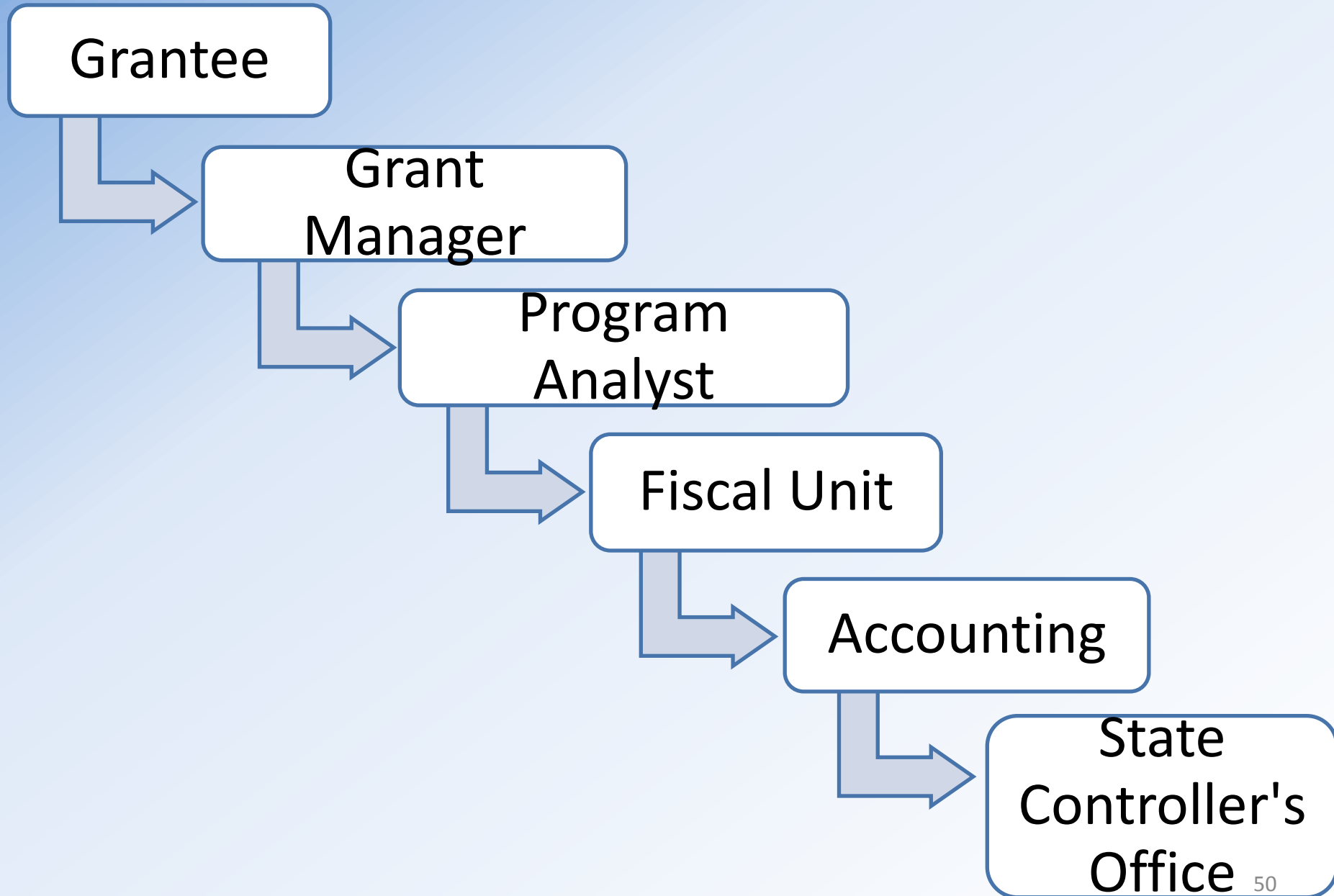
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Invoicing & Reimbursement

- a) Process
- b) Template
- c) Supporting Documentation
- d) Eligible (Reimbursement or Match)
- e) Ineligible Costs (Reimbursement or Match)
- f) Auditable Files

Invoice Administration Process



Invoice Template

| STATE WATER RESOURCES CONTROL BOARD | | | | | | |
|--|-------------------------------------|---------------------------|--|------------------------|--|--|
| GRANT PROGRAM INVOICE | | | | | | |
| (Reference Instructions on following page - Failure to follow instructions may result in non-payment of invoice) | | | | | | |
| THIS OFFICIAL INVOICE FORMAT MAY NOT BE MODIFIED | | | | | | |
| From: | To: | SWRCB Grant Agreement No: | | | | |
| Grantee | , Grant Manager | | | SWRCB PCA Number: | | |
| Address | State Water Resources Control Board | | | ① Grantee Invoice No.: | | |
| City, State, Zip | Address | | | ② Billing Period: | | |
| Phone Number | City, State, Zip | | | ③ Submittal Date: | | |

| GRANT FUNDS ONLY | | | | | | |
|---|--|---|---|--|---|---|
| Line Items | Grant Allotment <small>(per line item of N/A)</small> | ④ Previous Expenditures to Date <small>(From previous invoice)</small> | ⑤ Current Expenditures <small>Grant Funds Only</small> | ⑥ Total Expenditures to Date <small>④ + ⑤ = ⑥</small> | % of Line Item Budget Spent to Date <small>⑥ ÷ Grant Allotment = %</small> | ⑦ If Applicable: Match For This Reporting Period Only |
| Direct Project Administration Costs | \$0 | \$0.00 | \$0.00 | \$0.00 | 0.00% | |
| Planning/Design/Engineering/Environmental | \$0 | \$0.00 | \$0.00 | \$0.00 | 0.00% | |
| Equipment | \$0 | \$0.00 | \$0.00 | \$0.00 | 0.00% | |
| Construction/Implementation | \$0 | \$0.00 | \$0.00 | \$0.00 | 0.00% | |
| Monitoring/Performance | \$0 | \$0.00 | \$0.00 | \$0.00 | 0.00% | |
| Education/Outreach | \$0 | \$0.00 | \$0.00 | \$0.00 | 0.00% | |
| TOTALS | \$0.00 | \$0.00 | \$0.00 | \$0.00 | 0.00% | \$0.00 |

| | | |
|--|---|---|
| FOR STATE USE ONLY Date Received From GM _____ Date to Accounting _____ | ⑧ Total Amount Due This Invoice _____ ⑨ <input type="checkbox"/> Final Invoice ⑩ <input type="checkbox"/> Watershed Membership (if necessary) - I hereby certify that I am a member of (or have an affiliation with) a local watershed group, as defined in Water Code | 10% Withheld (Retention) 10% of total grant award will be held until final report is submitted, approved, and project is 100% complete. |
|--|---|---|

| | | |
|--|---------------------------|----------------|
| ⑪ Grantee Project Director or Designated Representative _____ Date _____ By signing this invoice I certify, under penalty of law, that this document and any attachment was prepared by me or under my direction in accordance with the terms and conditions of each Grant Agreement Exhibit and, to the best of my knowledge and belief, is accurate. I certify that any and all fees due to the State Water Resources Control Board have been paid. I am aware that there are significant penalties for submitting false or misleading information. | Regional Board Date Stamp | DFA Date Stamp |
| | | |

| | |
|---|--|
| ⑫ Grant Manager _____ Date _____ I certify this invoice, to the best of my knowledge and belief, is accurate and completed and I approve this invoice payment. | |
|---|--|

Supporting Documentation

1. Contractors and Consultants Invoices
2. Labor Certifications
3. Materials Receipts

Format for Submitting Documentation

- Invoice Submittal Summary Sheet
- Labor Certification

Supporting Documentation

Invoice Submittal Summary Sheet

Grant Number:

Invoice Number:

| Item No. | Invoice Number | Invoice Date | Name | Total Invoice Amount | Grant Amount Requested | Match Amount | Comments |
|-------------------------------|----------------|--------------|--------------------------|----------------------|------------------------|-----------------|--|
| Direct Project | | | | | | | |
| 1 | | July 2012 | Good County Labor Cert. | \$1,200.70 | \$600.00 | \$600.70 | |
| 2 | | Aug 2012 | Staples/Office Depot | \$636.40 | \$636.40 | \$0.00 | (Copies, postage, etc.) |
| | | | | | | | |
| | | | | | | | |
| Subtotal | | | | \$1,837.10 | \$1,236.40 | \$600.70 | |
| Planning/Design/Engine | | | | | | | |
| 3 | AB81234 | July 2012 | At the Trough Consulting | \$5,000.20 | \$600.00 | \$0.00 | Rest of invoice ineligible for reimbursement |
| 4 | 560-8-12 | July 2012 | Scientific Erudition | \$12,000.00 | \$11,940.40 | \$0.00 | Rest markup, ineligible. |
| | | | | | | | |
| | | | | | | | |
| Subtotal | | | | \$17,000.20 | \$12,540.40 | \$0.00 | |

Continued on next page

| Item No. | Invoice Number | Invoice Date | Name | Total Invoice Amount | Grant Amount Requested | Match Amount | Comments |
|------------------------|----------------|--------------|----------------------|----------------------|------------------------|--------------|--|
| Construction/Implement | | | | | | | |
| 5 | 560-8-12 | June 2012 | ABC Drilling | \$15,000.30 | \$15,000.30 | \$0.00 | Drilling Company didn't invoice in time to include in last submittal (see cert |
| | | | | | | | |
| | | | | | | | |
| Subtotal | | | | \$15,000.30 | \$15,000.30 | \$0.00 | |
| Monitoring/Performanc | | | | | | | |
| 6 | 485-2 | July 2012 | Sample This n' That | \$0.00 | \$0.00 | \$789.33 | |
| | | | | | | | |
| | | | | | | | |
| Subtotal | | | | \$0.00 | \$0.00 | \$789.33 | |
| Education/Outreach | | | | | | | |
| 7 | 8B72 | Aug 2012 | Psychedelic Graphics | \$1,500.00 | \$750.00 | \$0.00 | Half paid for by other grant funds |
| | | | | | | | |
| | | | | | | | |
| Subtotal | | | | \$1,500.00 | \$750.00 | \$0.00 | |
| Grand Total: | | | | \$35,337.60 | \$29,527.10 | \$1,390.03 | |

Other Funding Sources: USDA Funding Program

55

Labor Certification

GRANTEE LABOR CERTIFICATION

DATE:

AGREEMENT #:

[C/A 339]

INVOICE #:

BILLING PERIOD:

| Category | Employee Name | Classification | Total Project Hours | Hourly Billing Rate | Total Amount Billed |
|----------------------|---------------|-----------------------------|---------------------|---------------------|---------------------|
| Direct Project Admin | Frank Zappa | Program Manager | 20.00 | \$ 75.00 | \$ 1,500.00 |
| Planning | Adrian Belew | Senior Planner | 15.00 | \$ 60.00 | \$ 900.00 |
| Construction | David Bowie | Construction Manager | 25.00 | \$ 50.00 | \$ 1,250.00 |
| Monitoring | Klaus Nomi | Environmental Specialist I | 100.00 | \$ 30.00 | \$ 3,000.00 |
| Monitoring | Rick Wakeman | Environmental Specialist II | 10.00 | \$ 40.00 | \$ 400.00 |
| | | | | \$ - | \$ - |
| | | | | \$ - | \$ - |

Total Amount Invoiced: \$ 7,050.00

By signing below, I certify that the above employee(s) worked the stated hours on this project during this invoicing period.

Administrative Officer

Date

Eligible Costs (Reimbursement and Match)

- Grantee's personnel hours
- Volunteer hours (match)
- Consulting and Contractors Invoices
- Supplies and materials directly related to project

Ineligible Costs (reimb. and match)

Some examples of ineligible costs are:

- Mark Up/Surcharge
- Per Diem/Out of State Travel
- Tuition fees (Fee remission)
- Overhead

Ineligible Costs (reimb. and match)

- Deductible for insurance
- Food and beverages
- Audit costs
- Legal Costs (some exceptions)
- Land Purchase

ment & Engineering Services

| | | | | | | |
|------------------------|-------|-----------|--------------|-------------|-----------|--------------|
| Project Engineer | 3.0 | \$ 120.00 | \$ 360.00 | \$ - | \$ - | \$ 360.00 |
| Project Engineer | 13.0 | \$ 120.00 | \$ 1,560.00 | \$ 388.00 | \$ 27.16 | \$ 1,975.16 |
| Project Engineer | 2.0 | \$ 160.00 | \$ 320.00 | \$ - | \$ - | \$ 320.00 |
| Engineer | 43.0 | \$ 105.00 | \$ 4,515.00 | \$ - | \$ - | \$ 4,515.00 |
| Administrative Support | 2.0 | \$ 70.00 | \$ 140.00 | \$ - | \$ - | \$ 140.00 |
| Cadd Operator | 4.0 | \$ 80.00 | \$ 320.00 | \$ - | \$ - | \$ 320.00 |
| Engineer | 32.0 | \$ 130.00 | \$ 4,160.00 | \$ 4,603.24 | \$ 322.23 | \$ 9,085.47 |
| Sr. Project Manager | 12.0 | \$ 195.00 | \$ 2,340.00 | \$ - | \$ - | \$ 2,340.00 |
| Sr. Project Manager | 1.0 | \$ 215.00 | \$ 215.00 | \$ - | \$ - | \$ 215.00 |
| Project Engineer | 1.0 | \$ 125.00 | \$ 125.00 | \$ - | \$ - | \$ 125.00 |
| Sr. Project Manager | 28.0 | \$ 195.00 | \$ 5,460.00 | \$ 1,669.98 | \$ 116.90 | \$ 7,246.88 |
| Project Engineer | 6.0 | \$ 155.00 | \$ 930.00 | \$ - | \$ - | \$ 930.00 |
| Construction Manager | 32.0 | \$ 170.00 | \$ 5,440.00 | \$ - | \$ - | \$ 5,440.00 |
| Sr. Engineer | 8.0 | \$ 170.00 | \$ 1,360.00 | \$ - | \$ - | \$ 1,360.00 |
| Sr. Project Engineer | 2.0 | \$ 175.00 | \$ 350.00 | \$ - | \$ - | \$ 350.00 |
| Engineer | 92.0 | \$ 110.00 | \$ 10,120.00 | \$ 4,181.85 | \$ 292.73 | \$ 14,594.58 |
| Construction Manager | 5.0 | \$ 217.00 | \$ 1,085.00 | \$ - | \$ - | \$ 1,085.00 |
| Construction Manager | 119.0 | \$ 176.00 | \$ 20,944.00 | \$ - | \$ - | \$ 20,944.00 |
| Senior Inspector | 78.0 | \$ 168.00 | \$ 13,104.00 | \$ - | \$ - | \$ 13,104.00 |
| Administrative Support | 65.0 | \$ 78.00 | \$ 5,070.00 | \$ - | \$ - | \$ 5,070.00 |

| | | | | | | |
|----------|--|--|--|-------------|-----------|-------------|
| Per Diem | | | | \$ 1,778.00 | \$ 124.46 | \$ 1,902.46 |
|----------|--|--|--|-------------|-----------|-------------|

Manhour Subtotal 548.0

| | | | | | | |
|---------------------------|------------------------------|-------|----------|--------------|--------------|---------------|
| Misc. Expenses | Fixed Amount per Billed Hour | 548.0 | \$ 8.75 | | | \$ 4,795.00 |
| Direct Expenses | Invoice Cost | | | \$ 4,242.00 | \$ 296.94 | \$ 4,538.94 |
| Field Inspection Vehicles | Fixed Amount per Billed Hour | 234.0 | \$ 13.50 | \$ 3,159.00 | \$ 221.13 | \$ 3,380.13 |
| Subtotals | | | | \$ 77,918.00 | \$ 20,022.07 | \$ 104,136.61 |

Subtotal For Task Order #4

Invoice

Invoice No.: 40
 Project Name: XXXXXXXXXXXXXXXXXXXX
 Invoice Date: August 12, 2008
 Billing Period: June 1, 2008 thru July 31, 2008
 Payment Due: August 27, 2008
 Terms: 15 Net Days
 Contact: XXXXXXXXXX
 Telephone: XXXXXXXXXX

| g Title | Hours | Rate | Labor | Direct Expense | Fee (7%) | Amount | Totals |
|----------------------------|-------|-----------|-------------|-----------------|--------------|---------------|---------------|
| Subtotals | | | | ✓ \$ 489,751.00 | \$ 34,282.57 | \$ 524,033.57 | |
| | | | | \$ 489,751.00 | \$ 34,282.57 | \$ 524,033.57 | \$ 524,033.57 |
| al Support | 20.0 | \$ 90.00 | \$ 1,800.00 | \$ - | \$ - | 1,800.00 | |
| Engineer | 1.0 | \$ 170.00 | \$ 170.00 | \$ - | \$ - | 170.00 | |
| tive Support | 42.0 | \$ 78.00 | \$ 3,276.00 | \$ - | \$ - | 3,276.00 | |
| anhour Subtotal | 63.0 | | | | | | |
| per Billed Hour | 63.0 | 8.75 | | | | 551.25 | |
| Cost | | | | 5,384.48 | 376.91 | 5,761.39 | |
| per Billed Hour | | \$ 13.50 | | | | | |
| Subtotals | | | \$ 5,246.00 | \$ 5,384.48 | \$ 376.91 | \$ 11,558.64 | \$ 11,558.64 |
| Subtotal For Task Order #1 | | | | | | | \$ 535,592.21 |
| Subtotals | | | | ✓ \$ 278,999.34 | \$ 19,529.95 | \$ 298,529.29 | |
| | | | | \$ 278,999.34 | \$ 19,529.95 | \$ 298,529.29 | |

Auditable Files

- Grantees Responsibility
- Loose Threads
- Pay Back

Questions?

Email questions to:
DFA_Grants@waterboards.ca.gov

SWGP Post Award Workshop

1. Welcome
2. Grant Agreement
3. CEQA
4. Measuring Project Performance
5. Invoicing & Reimbursement
- 6. Reporting**
7. Fraud Prevention and Detection
8. Summary

Reporting

- Progress Reports
 - The basis of all reports for life of grant
 - Quarterly
- Annual Report and PAEP Update Status
 - Based off of Progress Reports and Approved PAEP
 - Used to build Final Report
- Final Report
 - Summarizes the overall project
 - Use previous Progress Reports and Annual Reports to complete

Reporting

Progress Report: Content

- Should include:
 1. Summary of Work Completed to Date
 - Deliverable Table from Grant Agreement
 2. Progress Report Narrative
 - a) Introduction
 - b) Summary of Activities for Reporting Period
 - c) Summary of Items for Review
 - d) Summary of Items in Progress
 - e) Additional Information
 - f) Photos

Reporting

Progress Report: Content

1. Summary of Work Completed to Date

| Grant Progress Report | | | | |
|-----------------------|---|--|--------------------|----------------|
| Name of Project | | | | |
| GA# XX-XXX-XXX | | | | |
| Work Item | Items for Review # | Due Date | % Of Work Complete | Date Submitted |
| EXHIBIT A | A.1 GPS Information | Day 90 (Prior to 1 st Disbursement) | | |
| | A2. PAEP | Day 30 (Prior to 1 st Disbursement) | | |
| | A2. Non Point Source Pollution Reduction Project Follow-up Survey Form | | | |
| | A3. Monitoring Plan | Day 90 | | |
| | A4. QAPP | Day 90 | | |
| | A5. Proof of Water Quality Data Submission to CEDEN | Before Final Invoice | | |
| | A6. CEQA/NEPA | | | |
| | A7. Public Agency Approvals, Entitlements, or Permits | | | |
| | B.X (Deliverables from Project-Specific Requirements) | | | |
| | B.X (Deliverables from Project-Specific Requirements) | | | |
| EXHIBIT B | G.1 Progress Reports | | | |
| | G.2 Annual Progress Summaries | | | |
| | G.3 NRPI | Before Final Invoice | | |
| | G.4 Draft Project Report | | | |
| | G.5 Final Project Report | | | |
| | G.6 Final Project Summary | Before Final Invoice | | |
| | G.7 Final Project Inspection and Certification | Before Final Invoice | | |

Reporting

Progress Report: Content

2(a): Progress Report Narrative: Introduction

- Should be a summary of the project
- Provides the necessary detail to fully describe project to an outside onlooker

Reporting

Progress Report: Content

2(b): Progress Report Narrative: Summary of Activities

- Describes what was completed this reporting period
- Should justify reimbursement AND matching funds

Reporting

Progress Report: Content

2(c-d): Progress Report Narrative:

1. Summary of Items for Review
2. Summary of Items in Progress

Reporting

Progress Report: Content

Summary of Items for Review

- Invoice #2

Project Administration (Cumulative 5 % complete)

Project administration included the compilation of Invoice 2 and submittal of the Mitigated Negative Declaration for comments from the public. The final MND will be submitted in the following reporting period.

- Monitoring Report – Quarter 4 2011

Monitoring Report (Cumulative 10 % complete)

The monitoring report for the fourth quarter of 2011 is included for review. In general, the sampling results were as expected. Continued monitoring and reporting will continue for the life of the grant.

- Mitigated Negative Declaration (DRAFT)

Mitigated Negative Declaration (DRAFT) (Cumulative 100 % complete)

The MND was completed and submitted for public comments on February 15, 2013. The comment period was open for 30-days. Minimal comments were received. The Final MND will be submitted in the following reporting period with all comments being addressed.

Summary of Items in Progress

EXHIBIT A

- 2 Non-Point Source Pollution Reduction Project Follow-up Survey Form (Cumulative 0 % complete) – This deliverable has yet to begin.
- 3 Monitoring Reports (Cumulative 10 % complete) – Monitoring began last quarter; two monitoring reports have been submitted for review.
- 5 Proof of WQ Data Submission to CEDEN (Cumulative 20 % complete) – As results are available, they are being uploaded into the CEDEN database as required.
- 6 CEQA Documentation (Cumulative 90 % complete) – As mentioned above, the Draft MND went out for public review and comments were received; a copy of the Draft MND is submitted with this report.
- 7 Public Agency Approvals, Entitlements, or Permits (Cumulative 80 % complete) – One land owner agreement is pending; however, we have received a letter of support from that land owner and the agreement is expected to be completed by the next reporting period; Coastal Development Permit and RWQCB 401 Certification; the Streambed Alteration Permit (DFG 1600) is pending finalization, which is expected to be completed by May 2013.

EXHIBIT B

- 1 Progress Reports (Cumulative 20 % complete) – continues on a quarterly basis; no delays or issues to report.
- 2 Annual Progress Reports (Cumulative 10 % complete) – The first progress report has yet to be required; however, progress is being made with each quarterly Progress Report.
- 3 Awarded Bid Documents (Cumulative 80 % complete) – The bid documents have been completed and are in review with the City's Engineers. The project is expected to go out to bid in May 2013 and be awarded in July 2013. The project is ahead of schedule for this task.

Reporting

Progress Report: Content

2(f): Progress Report Narrative: Photographs

- Include photographs of the Project's progress
 - Before
 - During
 - After
- Outreach can include:
 - Brochure &/or mailer
 - Training materials
 - Other outreach items

Reporting Annual & PAEP Update

- Two reports are now combined into one
- Should summarize your year of quarterly Progress Reports

Reporting

Annual & PAEP Update: Content

- Will include the following:
 1. Background
 2. Project Description
 3. Project Status
 4. PAEP Status Update

Reporting

Annual & PAEP Update: Content

4. PAEP Status Update should include:
 - Are targets being met?
 - Staying on task?
 - List targets and discuss each
 - Is an updated PAEP needed?
 - If so, an updated PAEP should be included

Reporting

Final Project Report: Goals

- Capture project importance
- Highlight specific achievements
- Identify lessons learned
- Tells public what you did and why it was a good use of State funds
- Will be uploaded into FAAST

Reporting

Final Project Report: Content

1. Title Page
2. Table of Content
3. Executive Summary
4. Background (What was the problem?)
5. Project Description (What was the solution?)
6. Public Outreach
7. Project Evaluation and Effectiveness
8. Conclusion
9. Appendices

Reporting

Final Project Report: Summary

- Draft Report: ~ 2-3 months prior to work completion date
- Final Report: MUST be submitted before work completion date

Questions?

Email questions to:
DFA_Grants@waterboards.ca.gov

SWGP Post Award Workshop

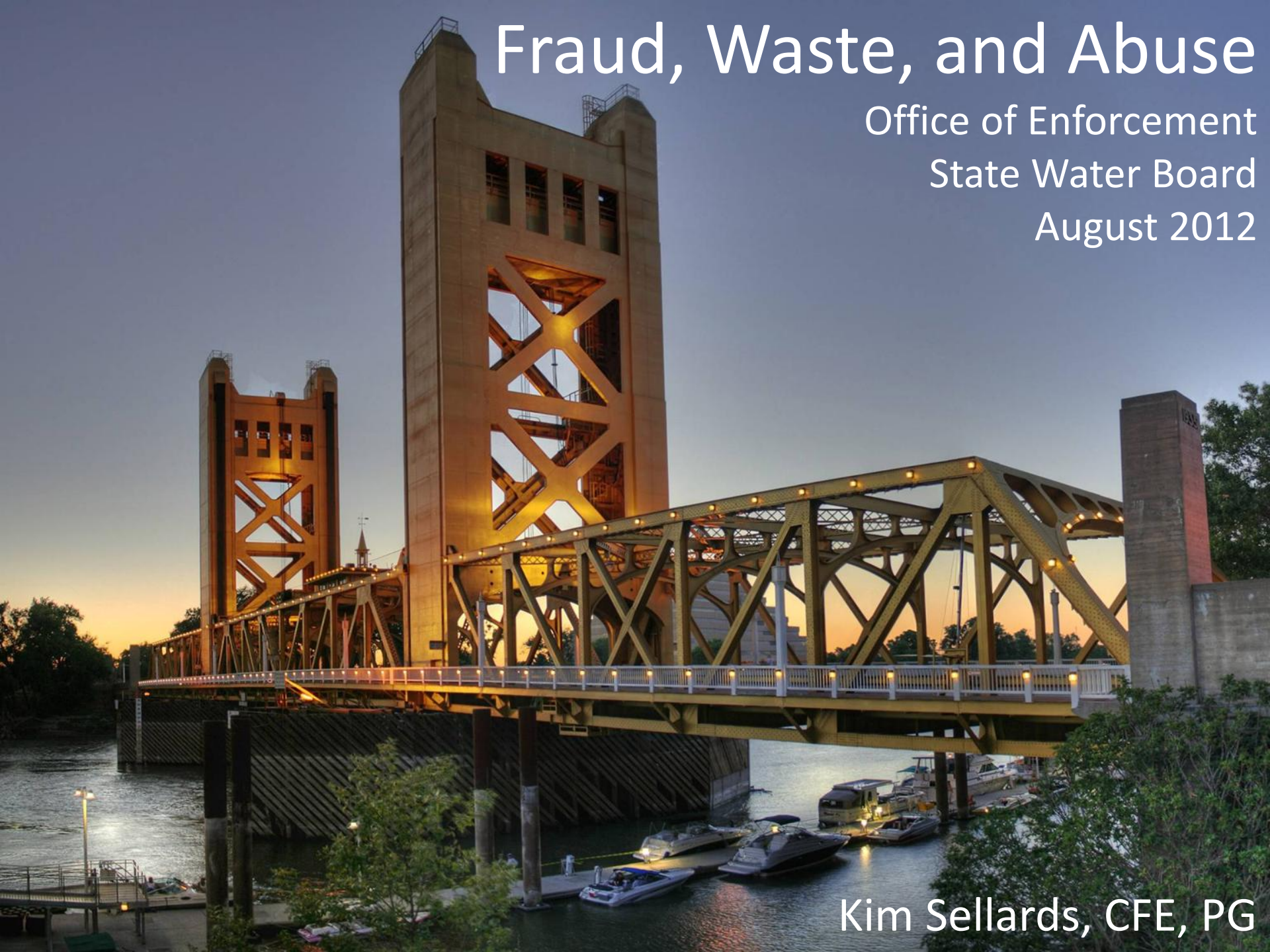
1. Welcome
2. Grant Agreement
3. CEQA
4. Measuring Project Performance
5. Invoicing & Reimbursement
6. Reporting
- 7. Fraud Prevention and Detection**
8. Summary

Fraud, Waste, and Abuse

Office of Enforcement

State Water Board

August 2012



Kim Sellards, CFE, PG

Overview

1. What is Fraud?
2. Red Flags
3. Investigations



Fraud, Waste, & Abuse

What is Fraud?

1

Black's Law Dictionary
defines fraud as:

“a knowing
misrepresentation of
the truth or
concealment of a
material fact to induce
another to act to his or
her detriment”



How Much Fraud Is There?

1



STATE OF CALIFORNIA
OFFICE OF THE INSPECTOR GENERAL
AMERICAN RECOVERY ACT FUNDS

FOR IMMEDIATE RELEASE
Wednesday, August 12, 2009

FOR MORE INFORMATION:
Rob Wilcox 916-397-8240

Federal, State and Local Officials Warn of

... we've come to realize that 10 to 15 percent of the federal funds expended are lost to fraud, waste and/or abuse."

billions of dollars in Stimulus and Recovery Act funds are doled out in California over the next few years. Whether in defense procurement, health care, infrastructure replacement, housing subsidy or disaster relief programs, to name a few, we've come to realize that 10 to 15 percent of the federal funds expended are lost to fraud, waste and/or abuse," said Joseph P. Russoniello, U.S. Attorney for the Northern District of California. "We are determined to do everything in our power to break that cycle.

"Working with our partners in state and local prosecutors' offices and with the California and federal Offices of Inspectors General, we hope to identify, early on, recipient-based scams and other artifices," Russoniello continued. "We will then use the full force of our audit and enforcement authority to prevent taxpayer monies from being misspent, if at all possible, and give high priority to the prosecution of unscrupulous individuals and enterprises intent on illegally benefitting from programs designed to help Californians get through this economic downturn."

Red Flags

Inconsistencies - Technical

2

ATS LABORATORIES

Reported 6-12-03

Received 6-3-03

Lad no 3053

~~San Juan County Water~~

Wastewater

Effluent

Bod

Results

43.2

Units
mg/l

DLR
1

Method
5210B

Suspended

40.5

mg/l

1

2540D

Total dissolve

921

mg/l

1

250C

Infuent

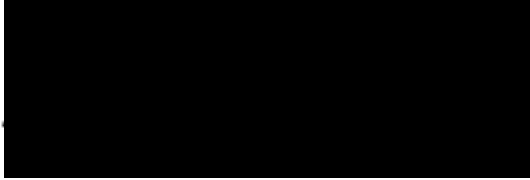
My lad assistants spilled the infuent samaly on
Wednesday the 6-3-03.

Significant Digits - Payments

2

SERVICES PROVIDED FOR QUARTERLY GROUNDWATER MONITORING

Site:



Project Cost..... \$10,000

TOTAL DUE THIS INVOICE..... \$10,000

Accounts past due will accrue interest at 1.5% monthly.

Altered Documents - Payments

2

Solleco

1270 N. Red Gum
Anaheim, CA 92806

Inv

| Date | Invoice # |
|------------|-----------|
| 10/15/2002 | 2618 |

Bill To

E2C Remediation
5300 Woodmere Dr., Ste 105
Bakersfield, CA 93313

Ship To

E2C Remediation
5300 Woodmere Dr
Bakersfield, Ca 93313

| | | | | | | |
|-------------|-------------------|--|------------|-----------|-------------|------------|
| P.O. Number | Terms | Rep | Ship | Via | F.O.B. | Project |
| | Due on completion | JDT | 10/15/2002 | Our Truck | Bakersfield | |
| Quantity | Item Code | Description | | | Price Each | Amount |
| 1 | Equip. Sales | 300 ECAT Electrical Catalytic Oxidizer | | | 49,500.00 | 49,500.00T |
| | | Sales Tax | | | 7.75% | 3,836.25 |

Altered Documents - Payments (cont)

2

| SOLLECO | | | | | | Invoice | |
|---|--------------------|--|------------|---|-------------|-------------|-----------|
| 1270 N Red Gum Anaheim, CA 92806 (714) 575-0025 Fax (714) 575-0026 | | | | | | DATE | INVOICE # |
| | | | | | | 10/15/2002 | 2618 |
| BILL TO | | | | SHIP TO | | | |
| Three Way Leasing PO Box 9609 Bakersfield, CA 93389 | | | | E2-C Incorporated LLC Kens Auto 6787 Adams Culver City, CA | | | |
| P.O. NUMBER | TERMS | REP | SHIP | VIA | F.O.B. | PROJECT | |
| Solleco Contract | Due On Completi... | JDT | 10/15/2002 | Our Truck | Culver City | Job # C1115 | |
| QUANTITY | ITEM CODE | DESCRIPTION | | | PRICE EACH | AMOUNT | |
| | Component | 500 TCAT Thermal Catalytic Oxidizer (Serial # C1115) | | | 36,450.00 | 36,450.00 | |
| | | Sales Tax - Resale | | | | 0.00 | |

Ad 11/22/02

Supporting Documents - Payments

2

GROUNDWATER MONITORING - February 2011

| | | | |
|------------------------------|---------------------|----------------|---|
| Field Technician: | 13 hours @ \$70/hr. | \$910 | |
| Field Geologist: | 13 hours @ \$90/hr. | \$1,170 | |
| Health and Safety Equipment: | | \$255 | |
| Sampling Supplies: | | \$383 | ✓ |
| Chemical Analysis: | \$1,400 + 15% = | \$1,610 | |
| Truck: | | \$60 | |
| Report Preparation: | 11 hours @ \$105/hr | \$1,155 | |
| Principle Review: | 1 hour @ \$145 | \$145 | |
| Clerical: | 4 hours @ \$55/hr. | \$220 | |
| pH/condo meter: | | \$50 | ✓ |
| TOTAL | | \$5,958 | |

Excessive Costs - \$1K to Dispose of a Drum 2

Waste Disposal / Remediation Sludge (January 2009): Soil generated during remediation system cleaning was characterized, profiled, and manifested; transportation of the soil from the site to an appropriate recycling/disposal facility was coordinated and disposed of on January 22, 2009. [REDACTED] removed and transported one, 55-gallon drum of soil from the site to [REDACTED], for disposal.

| | Units | Rate | Total |
|--|---------|-----------|-----------|
| Project Geoscientist | 1 hour | \$ 105.00 | \$ 105.00 |
| Staff Geoscientist | 5 hours | \$ 90.00 | 450.00 |
| Technician | 4 hours | \$ 70.00 | 280.00 |
| Truck, Liftgate | 1/2 day | \$ 195.00 | 97.50 |
| Drum Carrier & Small Tools | 1/2 day | \$ 55.00 | 27.50 |
| Disposal of Non-Hazardous Sludge (55 gallons) | | | 85.96 |
| Miscellaneous Materials & Supplies (gloves, safety supplies, etc.) | | | 12.04 |

INVOICE TOTAL \$ 1,058.00

Site Visits - Serial Numbers

2



Site Visits - Serial Numbers (cont)

2

Manufactured by:

1270 RED GUM ST.
ANAHEIM, CA. 92806
714-575-0025

Serial: C1207

Model: 250TCAT

Electrical: 240 Volt / 1Phase

FLA: 53 Amps

Burner Input: 400,000 BTU per hour

Fuel Type: L.P.G. / Natural

Gas Pressure (At Manifold): 14" W.C.

Investigations

OWNERS OF SOUTHERN CALIFORNIA ENVIRONMENTAL CONSULTING FIRM CHARGED WITH FRAUD

State Water Board and State Attorney General Announce Arrests

3

FOR IMMEDIATE RELEASE
May 10, 2012

Contact: Kathie Smith – (916) 341-5263

SACRAMENTO – Today, the State Attorney General's Office charged Kurt and Julie Hayden, owners of Hayden Environmental Inc. (HEI), a Santa Barbara-based environmental consulting firm, with fraudulently obtaining money from the State Water Resources Control Board's (Water Board) Underground Storage Tank Cleanup Fund (Cleanup Fund).

The arrest and criminal charges of the Haydens came after agents searched the couple's multi-million dollar residence in Santa Barbara and their vacation home at June Lake, California. Agents seized numerous boxes, which contained records implicating the Haydens in the fraud. If convicted, Kurt and Julie Hayden could each face up to five years in state prison.

The criminal complaints allege that the Haydens, and their company, HEI, conspired to commit grand theft, committed grand theft, and presented fraudulent claims for reimbursement of work that was not performed, all of which are felonies under California law.

The Haydens are alleged to have received money from the Cleanup Fund for performing work in Santa Barbara during a time when the couple was known to be in Costa Rica. In addition, the complaints allege that the couple inflated invoices for other work, resulting in the Cleanup Fund overpaying as much as 200 percent on some charges, through overbilling for equipment and payroll.

Complaint Reporting

3

The Fund has several ways for you to report fraud:

1. Email us at reportfraud@waterboards.ca.gov
2. Call our toll-free message line at 1-855-263-0863
3. Complete our [Fraud Reporting Complaint Form](#) and return to us by:
 - Email at: reportfraud@waterboards.ca.gov
 - Mail forms to:
State Water Board
Office of Enforcement
P. O. Box 100
Sacramento, CA 95812
 - Fax forms to: (916) 341-5896

Kim Sellards

ksellards@waterboards.ca.gov

916-341-5869



SWGP Post Award Workshop

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Questions?

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